

UTILITY
PATENT APPLICATION
TRANSMITTAL

Only for new nonprovisional applications under 37 CFR 1.53(b)

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First Named Inventor or Application Identifier

Manish Kulkarni

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APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

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1. ☒ Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)

2. ☒ Specification Total Pages 33

3. ☒ Drawing(s) (35 USC 113) Total Sheets 6

4. ☒ Oath or Declaration Total Pages 2

a. ☒ Newly executed (original or copy)

b. ☐ Unexecuted for information purposes

c. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]

i. ☐ DELETION OF INVENTOR(S)
Signed Statement attached deleting
inventor(s) named in the prior application,
see 37 CFR 1.63(d)(2) and 1.33(b).

☐ Incorporation By Reference (useable if Box 4c is checked)
The entire disclosure of the prior application, from which a copy
of the oath or declaration is supplied under Box 4c, is considered
as being part of the disclosure of the accompanying application
and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)

7. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

a. ☐ Computer Readable Copy

b. ☐ Paper Copy (identical to computer copy)

c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & document(s))

9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)

10. ☐ English Translation Document (if applicable)

11. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ 6 Copies of IDS Citations

12. ☐ Preliminary Amendment

13. ☐ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)

14. ☐ Small Entity ☐ Statement filed in prior application
Statement(s) Status still proper and desired

15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)

16. ☐ Other: _____

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. ____/____

18. CORRESPONDENCE ADDRESS

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CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS (37 CFR 1.16(c))	30-20 =	10	X \$ 22.00 =	\$ 220.00
	INDEPENDENT CLAIMS (37 cfr 1.16(b))	5-3 =	2	X \$ 82.00 =	\$ 164.00
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))			\$270.00 =	\$
				BASIC FEE (37 CFR 1.16(a))	\$ 790.00
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19. Small entity status

- a. ☐ A Small entity statement is enclosed
- b. ☐ A small entity statement was filed in the prior nonprovisional application and such status is still proper and desired.
- c. ☐ Is no longer claimed.


20. ☒ A check in the amount of \$ 1,174.00 to cover the filing fee is enclosed.

21. ☒ A check in the amount of \$ 40.00 to cover the recordal fee is enclosed.

22. The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 06-1205:

- a. ☒ Fees required under 37 CFR 1.16.
- b. ☒ Fees required under 37 CFR 1.17.
- c. ☐ Fees required under 37 CFR 1.18.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

NAME	Michael K. O'Neill, Reg. No. 32,622
SIGNATURE	
DATE	November 19, 1998

DETERMINING COLOR MAPPINGS FOR A COLOR PRINTER

BACKGROUND OF THE INVENTION

5 Field Of The Invention

 The present invention relates to color printing, and in particular relates to a fast, iterative method for deriving a look-up table that represents the color mapping for a printer from
10 device independent colors (such as a color in CIEXYZ or CIELAB color space) to a color in a device dependent color space (such as a color in CMY or CMYK color space).

15 Background Of The Invention

 In conventional computer systems that print color images on a color printer, the precise colors actually printed by the printer are calculated by the computer using a look-up table. Specifically,
20 the look-up table is arranged as a three-dimensional grid of cells, with each entry in the grid representing printer colorant values (such as cyan,

magenta, yellow and black colorant values) as a function of some desired color in a different (usually device independent) color space. Based on a desired color, the computer accesses the look-up table to determine the printer colorant values. For colors not stored exactly in the grid, interpolation is conventionally employed so as to determine the colorant values.

Recently, there has been increased interest in producing printed color images with superior color fidelity, such that the printed image matches a displayed image or a scanned-in image. To accomplish color matching, it has become customary to employ a two-step procedure. In the first step, the scanned-in or displayed image, which typically is stored in device dependent color space such as RGB color space, is transformed into a device independent color space such as CIEXYZ or CIELAB color space. This first transformation allows for compensation and calibration of device dependent characteristics, such as phosphor spectral characteristics or spectral sensitivity characteristics of a scanner. In the second step, the device independent colors are transformed into printer device dependent colors, such as CMY or CMYK colors. This second transformation allows for compensation of printer characteristics.

One difficulty with this approach is the determination of entries for the look-up table that gives the transformation from device independent colors to device dependent colors for the printer. In the past, this look-up table was derived once at the factory, based on empirical measurements of a wide variety of color patches printed at fixed colors in the device dependent color space. A single derivation of a look-up table, however, does not allow for post-factory compensation based on

effects such as printer aging, selection of different inks with different spectral characteristics, selection of different print media, and other effects which change printout characteristics. Although it is possible to recalibrate the printer by printout of new color patches and by empirical measurement of the resulting device independent colors, it is still difficult, tedious and time consuming to derive a new printer look-up table, even though such derivation is ordinarily performed by a computer.

SUMMARY OF THE INVENTION

It is an object of the invention to provide a fast iterative method for deriving a printer look-up table, with entries in the look-up table corresponding to device dependent colors as a function of device independent colors.

The look-up table is derived from empirical measurements in device independent coordinates of predetermined device dependent color patches. The empirical measurements are preferably stored in a look-up table, with the look-up table commonly being referred to in the art as the "forward model". Accordingly, the look-up table that is derived by the present invention from the forward model look-up table will hereinafter be referred to as the "reverse model" look-up table.

According to one aspect of the invention, to derive an entry in the reverse model look-up table based on a target color in device independent coordinates, a binary search of the forward model look-up table is performed so as to locate a cell that contains the device independent target color. The grid points that define the cell in the forward model look-up table are then identified, and entries from the grid points in the forward model look-up

table are interpolated so as to obtain a device
dependent color corresponding to the device
independent target color. The device dependent
color is thereafter stored at the grid point for the
5 device independent target color of the reverse model
look-up table.

Preferably, interpolation according to the
invention is tetrahedral so as to minimize color
discontinuities and color gradient effects between
10 adjacent cells of the forward model look-up table.

It is also preferable to perform the binary
search of the forward model look-up table with
iterated steps that start from a starting color in
device dependent color space. The iterated steps
15 preferably include a division of the device
independent color space into multiple regions
defined by device independent colors corresponding
to small variations from the starting color in
device dependent color space, a determination of
20 which of the multiple regions contains the device
independent target color, and an update of the
starting color based on which region contains the
device independent target color. In particular, to
determine which of the multiple regions contains the
25 device independent target color, it is preferred to
obtain dot products for each normal plane vector
that defines the multiple regions with the vector
that defines the difference between the target color
and the device independent color corresponding to
30 the starting color, and thereafter to determine the
region in accordance with which of the dot products
yields positive values and which yields negative
values.

Because the invention performs a binary
35 search only for the purpose of locating the cell
that contains the device independent target color,
the binary search is quick and can be performed with

relative ease. For example, in a situation where the forward model look-up table is a 9x9x9 uniform grid in CMY device dependent colors, the binary search can locate the cell for a device independent target color within about three and at most four iterations of the binary search. Moreover, since interpolation is performed using the grid points for the cell so located, high color fidelity for the reverse model look-up table is obtained with good continuity and color gradient smoothness.

This brief summary has been provided so that the nature of the invention may be understood quickly. A more complete understanding of the invention can be obtained by reference to the following detailed description of the preferred embodiment thereof in connection with the attached drawings.

BRIEF DESCRIPTION OF THE DRAWINGS

Figure 1 is a representational view of a computer system in which the present invention may be utilized.

Figure 2 is a detailed block diagram showing the internal architecture of the computer system shown in Figure 1.

Figure 3 is a representational view of color transformations that can occur when printing images using the computer system shown in Figure 1.

Figure 4 is a representational view for explaining derivation of a reverse model look-up table from a forward model look-up table according to the invention.

Figure 5 is a flowchart for explaining derivation of a reverse model look-up table from a forward model look-up table according to the invention.

Figures 6A and 6B are representational views for explaining a binary search of a forward model look-up table according to the invention.

5 Figure 7 is a flowchart for explaining a binary search of a forward model look-up table according to the invention.

DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENT

10 Figure 1 is a representational view of a computer system in which the present invention may be utilized. Computer system 1 may be a Macintosh, PC-compatible, or other type of computer having an operating system such as Microsoft® Windows®. Provided with computer system 1 are display 2 which
15 may be a color monitor, keyboard 4 for entering user commands, and pointing device 5, such as a mouse, for pointing to and for manipulating graphical user interfaces and other objects displayed on display 2.

Computer system 1 also includes a mass
20 storage device such as fixed disk 6 for storing computer-executable process steps for image processing applications, process steps for generating a forward model look-up table, process steps for determining a reverse model look-up table
25 according to the invention, and other application programs and data. Such storage may also be provided by other storage media such as CD-ROM (not shown).

Printer 7 is provided for outputting images
30 such as images from image processing applications, scanned-in images and the like. Printer 7 preferably is a color printer which prints images using a combination of differently-colored inks, such as cyan, magenta and yellow inks. Printer 7
35 optionally uses black ink in addition to these differently-colored inks.

Scanner 11 is an image acquisition device that preferably also is included with computer system 1. Scanner 11 may be used to scan documents for output by printer 7 or to scan documents for processing by image processing applications executing within computer system 1. Of course, images may be input into computer system 1 using other image acquisition devices, such as a film adapter unit for scanner 11, a digital camera or the like. Images also may be input into computer system 1 from a variety of other sources, such as from a network through an unshown network interface.

It should be understood that although a programmable general-purpose computer is shown in Figure 1, a dedicated computer terminal or other type of data processing equipment can embody the present invention.

Figure 2 is a detailed block diagram showing the internal architecture of computer system 1. As shown in Figure 2, computer system 1 includes central processing unit (CPU) 13, which interfaces with computer bus 14. Also interfacing with computer bus 14 are scanner interface 15, printer interface 16, display interface 20, main random access memory (RAM) 21, fixed disk 6, keyboard interface 22, and mouse interface 24.

Main memory 21 interfaces with computer bus 14 so as to provide RAM storage to CPU 13 during execution of software applications. More specifically, CPU 13 loads process steps from a storage medium such as fixed disk 6 into main memory 21. CPU 13 then executes the stored process steps from main memory 21 in order to execute the applications. Data such as image files 32, forward model look-up table 34, reverse model look-up table 36, and the like can be stored in main memory 21,

where the data can be accessed by CPU 13 during execution of the process steps.

As also shown in Figure 2, fixed disk 6 typically contains operating system 30, device
5 drivers 31, image files 32, and image processing applications 33. Also stored on fixed disk 6 are process steps for an application 35 to generate a forward model look-up table, and process steps for an application 37 to determine a reverse model
10 look-up table. It should be noted that device drivers 31 can form part of operating system 30, and that forward model look-up table 34 and reverse model look-up table 36 can be embedded in a printer driver included in device drivers 31. Forward model
15 look-up table generation application 35 and reverse model look-up table determination application 37 can be combined into a single application program. The look-up tables and the look-up table application programs are explained in more detail below.

20 Images provided to computer system 1 by scanner 11 through scanner interface 15 can be manipulated with image processing applications 33 running on computer system 1. The images then can be output to printer 7 from the image processing
25 applications through a printer driver. Alternatively, the images can be output from scanner 11 to printer 7 through a printer driver, without being processed by image processing applications 33.

Images output by image processing
30 applications 33 and scanner 11 typically are defined in a color space corresponding to display 2 or scanner 11, for example RGB color space. However, printer 7 typically generates printed output based on images defined in terms of the differently-
35 colored inks used by printer 7. Thus, the images output to printer 7 should be defined in a device dependent color space corresponding to printer 7,

for example CMY color space or CMYK color space. Thus, the printer driver must transform images from image processing applications 33 or scanner 11 from a device dependent color space for a display or a scanner to a device dependent color space for a printer.

Figure 3 is a representational view for illustrating such a transformation. Typically, an image in device dependent color space 40 corresponding to a display or a scanner is first transformed into device independent color space 41 such as CIELAB or CIEXYZ color space. This first transformation allows for compensation and calibration of device dependent characteristics, such as phosphor spectral characteristics of a display or spectral sensitivity characteristics of a scanner. The image in device independent color space 41 is then transformed into device dependent color space 42 corresponding to printer 7, such as CMY or CMYK color space. This second transformation allows for compensation of printer characteristics.

The foregoing transformations preferably are implemented using look-up tables. Conventionally, these look-up tables are derived once at the factory, based on empirical measurements of input colors. For example, the reverse model look-up table for transforming an image in device independent color space to device dependent color space can be derived from empirical measurements of a wide variety of color patches printed at fixed colorant values in the device dependent color space (i.e., the forward model). A one-time derivation of the reverse model look-up table, however, does not allow for compensation based on effects such as printer aging, selection of different inks with different spectral characteristics, selection of different print media, and other effects which

change printout characteristics. The present invention addresses this need by providing a system for rapid re-derivation of the reverse model look-up table that transforms from a device independent color space to a device dependent color space based on empirical measurements in a device independent color space of predetermined device dependent color patches.

According to the present invention, the forward model look-up table is preferably formed by forward model look-up generator 35, which prints a wide variety of color patches using printer 7, and then scans and converts the resulting color patch values. Preferably, all possible combination of 9 equally-spaced values for each of cyan, magenta and yellow are printed, yielding $9 \times 9 \times 9 = 729$ color patches. It is also possible to include 9 equally-spaced values for black, which would yield $9 \times 9 \times 9 \times 9 = 6561$ color patches. The color patches are then scanned by scanner 11, yielding a color patch value for each color patch. Usually, the color patch values will be scanned in the scanner's device dependent color space, such as RGB. Accordingly, forward model look-up generator 35 converts these device dependent color values from scanner space to a device independent space (such as CIELAB or CIEXYZ) using known scanning characteristics of scanner 11. Then, forward model look-up table generation application 35 builds the forward model look-up table, by inserting at each device dependent (CMY or CMYK) grid point the corresponding color value (in device independent space) of the color patch actually printed for the grid point. The present invention uses this forward model look-up table to derive a reverse model look-up table such as reverse model look-up table 36. This derivation is preferably performed by reverse model look-up

table determination application 37, although the derivation can be performed by a printer driver or some other application program.

Figure 4 is a representational view for explaining derivation according to the invention of a reverse model look-up table from a forward model look-up table, and Figure 5 is a flow diagram showing stored process steps by which the reverse model is derived from the forward model. Briefly, according to the invention, a reverse model look-up table is derived based on a forward model look-up table. The entries in the reverse model look-up table represent device dependent colors as a function of device independent colors. The entries in the forward model look-up table represent device independent colors as a function of printout of corresponding device dependent color components. Both the forward model look-up table and the reverse model look-up table comprise a grid of cells in their respective color spaces with entries at each grid point of the grid. The derivation method according to the invention comprises the following steps to determine an entry in the reverse model look-up table for a device independent target color. First, a binary search of the forward model look-up table is performed to locate a cell that contains the device independent target color. Second, entries from the forward model look-up table at grid points that define the cell are interpolated so as to obtain a device dependent color corresponding to the device independent target color. Third, the device dependent color is stored at the grid point of the reverse model look-up table for the device independent target color.

In order to simplify the following explanation of the derivation method according to the invention, the method is initially explained

with respect to two-dimensional color spaces. In other words, the derivation method is initially explained for colors that are each defined with two color values. Thereafter, expansion of the method according to the invention to higher-order color spaces (e.g., three-dimensional color spaces) is explained.

In Figure 4, device dependent color space 60 is depicted with axes for two device dependent color values, namely C and M. Likewise, device independent color space 61 is depicted with axes for two device independent color values, namely U and V. Forward model look-up table 35 maps each grid point (represented by intersections of dotted lines) in device dependent color space 60 to a value in device independent color space 61. Likewise, reverse model look-up table 36 maps each grid point in device independent color space 61 to a value in device dependent color space 60. Each cell in one of the look-up tables is defined by the corner grid points for that cell.

In both of these models, a color defined by a grid point in one of the color spaces does not necessarily map to a color defined by a grid point in the other color space. Likewise, lines representing constant color value in one color space typically map to curves in the other color space. For example, as shown in Figure 4, the lines representing constant color values of $C=C_0$ and $M=M_0$ in device dependent color space 60 are mapped by the forward model into curves in device independent color space 61. As also shown in Figure 4, the color represented by the grid point (C_0, M_0) in device dependent color space 60 does not map to a grid point at (U_0, V_0) in device independent color space 61.

According to the invention, forward model look-up table 35 is a look-up table obtained through empirical measurements. Thus, for any given grid point in device dependent color space 60, forward model look-up table 35 contains a color defined by a U color value and a V color value. However, what is needed for generating a printout is reverse model look-up table 36 which maps grid points in device independent color space 61 to colors defined in device dependent color space 60.

In order to derive reverse model look-up table 36, device dependent color values must be entered for each grid point in device independent color space 61. The derivation of these grid point values according to the invention, for a target color defined by a grid point (U_i, V_i) in device independent color space 61, is now explained.

Figure 5 is a flowchart for explaining this derivation of device dependent color values. First, in step S501, a target color in device independent color space 61 is identified, for example (U_i, V_i) . The target color lies exactly on a grid point in device independent color space 61. Then, in step S502, a binary search of forward model look-up table 35 is performed so as to locate a cell that contains the device independent target color. As discussed above, each cell in forward model look-up table 35 corresponds to one of the grid cells in device dependent color space 60. Thus, for example, if the binary search indicates that the device dependent color corresponding to the target device independent color is P_i , then the cell located by the binary search is defined by the grid points P_a, P_b, P_c and P_d in device dependent color space 60. Note that it is not necessary to identify the exact position of point P_i ; rather, all that is ordinarily needed is the identity of the cell in which it lies, together

with the grid points that define the cell. The preferred embodiment of the binary search so as to identify the cell is explained in more detail below with reference to Figures 6A, 6B and 7.

5 Once the cell that contains the target color has been located, flow proceeds to step S503. In step S503, the device dependent color values for the grid points are interpolated so as to obtain a device dependent color (i.e., C and M color values)
10 corresponding to the device independent target color (i.e., target U and V color values). After interpolation, the device dependent color values are stored in the reverse model (step S504). The device dependent color values are stored at the grid point
15 of reverse model look-up table 36 that corresponds to the device independent target color (U_t , V_t).

 The foregoing operation is repeated for each of the grid points in device independent color space 61, thereby determining all of the entries for
20 reverse model look-up table 36.

 In the preferred embodiment, device dependent color space 60 and device independent color space 61 are three-dimensional. For example, device dependent color space 60 is a CMY color
25 space, and device independent color space 61 is a CIELAB or a CIEXYZ color space. In this case, the foregoing determination of a reverse model proceeds exactly as above, except that each cell is defined by eight grid points in device dependent color
30 space 60, and interpolation preferably is tetrahedral interpolation.

 The device dependent color space can be expanded to four dimensions by performing black generation and/or undercolor removal on the CMY
35 colors so as to obtain a black (K) color value. In such a case, the binary search is still performed in

CMY color space, before the black generation and/or undercolor removal.

Figures 6A and 6B are representational views for explaining a binary search of forward model look-up table 35 according to the invention. Briefly, according to the invention, the binary search is performed through iterated steps starting from a starting color value in device dependent color space. First, the device independent color space is divided into multiple regions defined by device independent colors corresponding to small variations from the starting color in device dependent color space. Second, the region that contains the device independent target color is identified. Third, the starting color value in device dependent color space is updated based on which region contains the device independent target color. These steps are iterated until the iterated value of the starting color value converges into a single cell.

Shown in Figure 6A is device independent color space 61, which includes point P_0 that corresponds to grid point (C_0, M_0) in device dependent color space 60, and thus is an entry in forward model look-up table 35. Grid point (C_0, M_0) is a guess for a starting color value for a device dependent color used in the binary search. As explained below, the initial value for the starting color value can be the midpoint of device dependent color space.

The points P_{0--} , P_{0+-} , P_{0-+} and P_{0++} are points in device independent color space 61 that correspond to grid points removed from grid point (C_0, M_0) by a small distance Δ in device dependent color space 60. In the preferred embodiment, Δ corresponds to the distance between grid points in device dependent color space 60. In particular,

these points are determined by applying forward model look-up table 35 to the following grid points in device dependent color space 60:

- 5 $(C_0+\Delta, M_0+\Delta)$ for P_{0++} ,
 $(C_0-\Delta, M_0+\Delta)$ for P_{0-+} ,
 $(C_0+\Delta, M_0-\Delta)$ for P_{0+-} , and
 $(C_0-\Delta, M_0-\Delta)$ for P_{0--} .

10 Also shown in Figure 6A is target color (U_t, V_t) in device independent color space 61, and vector V from P_0 to target color (U_t, V_t) . The object is to derive C and M values that correspond to target color (U_t, V_t) , and to store those values in the reverse model look-up table at grid point (U_t, V_t) . As previously explained, the C and M values are derived by a binary search of the forward model look-up table (which is the present topic of explanation) to determine the cell in which the target color lies, followed by interpolation of the grid points that define the cell.

15 Lines L_1, L_2, L_3 and L_4 in Figure 6A connect P_0 with each of $P_{0++}, P_{0-+}, P_{0+-}$ and P_{0--} . In particular, line L_1 connects points P_0 and P_{0++} ; line L_2 connects points P_0 and P_{0-+} ; line L_3 connects points P_0 and P_{0+-} ; and line L_4 connects points P_0 and P_{0--} . Each of these lines has a normal vector N associated therewith. N_1 is associated with line L_1 , N_2 with L_2 , N_3 with L_3 , and N_4 with L_4 .

25 As shown in Figure 6A, lines L_1, L_2, L_3 and L_4 divide device independent color space 61 into four regions R_1, R_2, R_3 and R_4 . The device independent target color (U_t, V_t) and vector V lie within one of these four regions. The identity of the region in which the target color lies provides information about the device dependent color that maps to the target color. In particular, each of these regions

in device independent color space 61 is characterized by a condition for device dependent colors that map to that region. These conditions are as follows:

5

Colors that map to region R_1 have $C \geq C_0$.

Colors that map to region R_2 have $M \leq M_0$.

Colors that map to region R_3 have $M \geq M_0$.

Colors that map to region R_4 have $C \leq C_0$.

10

Figure 6B shows point P_1 which corresponds to a different grid point in device dependent color space 60, namely (C_1, M_1) . P_1 is determined from (C_1, M_1) by using forward model look-up table 35.

15

Arrayed about point P_1 are points P_{1++} , P_{1-+} , P_{1+-} and P_{1--} . These points also are determined using forward model look-up table 35, from grid points in device dependent color space 60 arrayed about point P_1 in a similar fashion as the points arrayed about point P_0 in Figure 6A.

20

Figure 7 is a flowchart for explaining how the foregoing points, lines and regions of device independent color space 61 are used to perform a binary search according to the invention. In step S701, a guess is made as to a starting value for a device dependent color corresponding to the device independent target color with color values (U_i, V_i) . Assuming that the color values in device dependent color space 60 range from 0 to 1, the initial guess is selected as $(C_0, M_0) = (.5, .5)$. The upper and lower bounds of the portion of the device dependent color space under consideration are also determined. In this case, the bounds are initially $0 \leq C \leq 1$ and $0 \leq M \leq 1$.

25

30

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In step S702, device independent color space 61 is divided into regions based on the starting color value and small variations from the

starting color value. In particular, points P_{0++} , P_{0+-} , P_{0-+} and P_{0--} in device independent color space 61 are determined as described above with reference to Figure 6A. Then, lines L_1 , L_2 , L_3 and L_4 are determined from these points, and device independent color space 61 is divided into regions R_1 , R_2 , R_3 , and R_4 using these lines.

Next, in step S703, the region of device independent color space 61 in which the target color (U_t, V_t) resides is determined. This determination preferably is made by taking the dot product of vector V with the normal vectors N_1 , N_2 , N_3 and N_4 corresponding to lines L_1 , L_2 , L_3 and L_4 , respectively. A positive dot product indicates that vector V is on the same side of a line as the normal vector for that line, and a negative dot product indicates that vector V is on the opposite side of the line. Thus, depending on the signs of the dot products, the region in which vector V lies can be determined.

For example, if the normal vectors are determined using the conventional right-hand rule, then the normal vectors extend in the directions of vectors N_1 , N_2 , N_3 and N_4 shown in Figure 6A. In this case, the following rules can be used to determine the region in which vector V lies:

If $N_1 \cdot V$ is positive and $N_2 \cdot V$ is negative,
then V lies in region R_1 .

If $N_2 \cdot V$ is positive and $N_4 \cdot V$ is negative,
then V lies in region R_2 .

If $N_3 \cdot V$ is positive and $N_1 \cdot V$ is negative,
then V lies in region R_3 .

If $N_4 \cdot V$ is positive and $N_3 \cdot V$ is negative,
then V lies in region R_4 .

In the example shown in Figure 6A, V lies in region R_3 . Because V lies in region R_3 , it is known that the M value in device dependent color space 60 corresponding to (U_i, V_i) is greater than or equal to M_0 . Accordingly, in step S704, the starting value for the color in device dependent color space 60 is updated to lie between the current starting value and the upper bound for M color values under consideration. In addition, the lower bound for M color values under consideration is updated to be equal to M_0 . For example, using the numerical example above wherein $C_0=.5$ and $M_0=.5$, the updated starting value for M is .75, and the new bounds for M are $.5 \leq M \leq 1$.

In a similar fashion, if it is determined that vector V resided in region R_2 , then it is known that the M for point (U_i, V_i) is less than M_0 . Accordingly, the starting value for M is updated to lie midway between the lower bound for M and the current starting value for M , and the upper bound for M is updated to be equal to M_0 . Likewise, if V resides in R_1 or R_4 , the starting value for C and the bounds for C are updated accordingly.

In step S705, it is determined if the updated starting value for a device dependent color corresponding to (U_i, V_i) has converged into a single cell in device dependent color space corresponding to (U_i, V_i) . In particular, it is determined if the cell which contains the updated starting value is the same as the cell which contains the previous starting value. Alternatively, the updated starting value can be mapped to a point in the device independent color space using the forward model. Then, it can be determined if the mapped point is sufficiently close (i.e., within a predetermined limit) to (U_i, V_i) for the given circumstances.

In the example illustrated in Figure 6B, the starting value has been updated to (C_1, M_1) , which maps to point P_1 in independent color space 61. If (C_1, M_1) does not lie in the same cell as (C_0, M_0) in device dependent color space 60, or alternatively if P_1 is not sufficiently close to target color (U_t, V_t) , then flow returns to step S702 and device independent color space 61 is again divided. The division of device independent color space 61 about point P_1 is illustrated in Figure 6B. The region containing the vector from P_1 to (U_t, V_t) is determined, and the starting value and bounds for C and M are again updated. The updated values are checked to see if the new starting value is close enough to the target color, in which case the new starting value is provided as the result of the binary search. Otherwise, the steps are repeated.

In the case that device dependent color space 60 and device independent color space 61 are three-dimensional, the device independent color space is divided into six regions using twelve planes. Each plane is defined by two lines, and each line is defined by a point mapped from a starting value in device dependent color space, such as P_x mapped from (C_x, M_x, Y_x) , to points mapped from points close to the starting value. For P_x mapped from (C_x, M_x, Y_x) , the points used to define the lines are as follows:

$(C_x + \Delta, M_x + \Delta, Y_x + \Delta)$ for P_{x+++} ,
 $(C_x + \Delta, M_x + \Delta, Y_x - \Delta)$ for P_{x++-} ,
 $(C_x + \Delta, M_x - \Delta, Y_x + \Delta)$ for P_{x+-+} ,
 $(C_x + \Delta, M_x - \Delta, Y_x - \Delta)$ for P_{x+--} ,
 $(C_x - \Delta, M_x + \Delta, Y_x + \Delta)$ for P_{x-++} ,
 $(C_x - \Delta, M_x + \Delta, Y_x - \Delta)$ for P_{x-+-} ,
 $(C_x - \Delta, M_x - \Delta, Y_x + \Delta)$ for $P_{x-- +}$, and
 $(C_x - \Delta, M_x - \Delta, Y_x - \Delta)$ for P_{x---} .

Each of the twelve planes is defined using two lines between point P_x and two of the these points, as follows:

5 PL1 is defined using P_{x---} and P_{x--+} .
 PL2 is defined using P_{x---} and P_{x+-} .
 PL3 is defined using P_{x---} and P_{x++} .
 PL4 is defined using P_{x--+} and P_{x++} .
 PL5 is defined using P_{x--+} and P_{x+-} .
10 PL6 is defined using P_{x+-} and P_{x++} .
 PL7 is defined using P_{x+-} and P_{x+-} .
 PL8 is defined using P_{x+-} and P_{x+-} .
 PL9 is defined using P_{x+-} and P_{x+-} .
 PL10 is defined using P_{x+-} and P_{x++} .
15 PL11 is defined using P_{x+-} and P_{x++} .
 PL12 is defined using P_{x+-} and P_{x++} .

20 The normal plane vectors for each of the planes is defined in accordance with conventional mathematical practices. In particular, the cross product of the two lines defining each plane results in the normal plane vector for that plane.

25 Using these twelve planes, the six regions that divide the device independent color space about P_x are defined as follows:

30 R1 is bounded by PL8, PL9, PL10 and PL11.
 R2 is bounded by PL1, PL2, PL4 and PL6.
 R3 is bounded by PL6, PL7, PL10 and PL12.
 R4 is bounded by PL1, PL3, PL5 and PL8.
 R5 is bounded by PL4, PL5, PL11 and PL12.
 R6 is bounded by PL2, PL3, PL7 and PL9.

35 The conditions for colors in device dependent color space that map to each of these regions in device independent color space are as follows:

Colors that map to region R1 have $C \geq C_x$.

Colors that map to region R2 have $C \leq C_x$.

Colors that map to region R3 have $M \geq M_x$.

Colors that map to region R4 have $M \leq M_x$.

5 Colors that map to region R5 have $Y \geq Y_x$.

Colors that map to region R6 have $Y \leq Y_x$.

10 Using the foregoing region and normal plane vector definitions and conditions, the binary search in three dimensions proceeds in the same manner as in the two dimensional case.

15 It should be noted that while the present invention is described herein with respect to deriving a reverse model look-up table for transforming colors in a device independent color space to a device dependent color space for a printer, the invention is equally applicable to other transformations. In particular, the invention is applicable in any situation wherein a model
20 (possibly based on a set of empirical measurements) exists for a forward model transformation from a first color space to a second color space, and a look up table for a reverse model that is the inverse of the forward model transformation is
25 needed.

The invention has been described with respect to a particular illustrative embodiment. It is to be understood that the invention is not limited to the above described embodiment and that
30 various changes and modifications may be made by those of ordinary skill in the art without departing from the spirit and scope of the invention.

WHAT IS CLAIMED IS:

1. A method for deriving a reverse model
look-up table whose entries represent device
5 dependent colors as a function of device independent
colors, based on a forward model look-up table whose
entries represent device independent colors obtained
in response to printout of corresponding device
dependent color components, wherein the forward
10 model and the reverse model look-up tables both
comprise a grid of cells in their respective color
spaces with entries at each grid point of the grid,
the method comprising the following steps to
determine an entry in the reverse model look-up
15 table for a device independent target color:
performing a binary search of the forward
model look-up table to locate a cell that contains
the device independent target color;
interpolating entries from the forward
20 model look-up table at grid points that define the
cell so as to obtain device dependent colors
corresponding to the device independent target
color; and
storing the device dependent color at the
25 grid point of the reverse model look-up table for
the device independent target color.

2. A method according to Claim 1, wherein
said interpolating step comprises tetrahedral
30 interpolation.

3. A method according to Claim 1, wherein
said step of performing a binary search comprises
iterated steps starting from a starting color value
35 in device dependent color space, the iterated steps
comprising:

dividing the device independent color space into multiple regions defined by device independent colors corresponding to small variations from the starting color in device dependent color space;

5 determining which of the multiple regions contains the device independent target color; and

 updating the starting color value based on which region contains the device independent target color.

10

4. A method according to Claim 3, wherein said step of determining which of the multiple regions contains the device independent target color comprises the steps of obtaining dot products for
15 each normal plane vector that defines the multiple regions with the vector that defines the difference between the target color and the device independent color corresponding to the starting color, and
 determining which region contains the device
20 independent target color in accordance with which of the dot products yields positive values and which yields negative values.

20

5. A method according to Claim 1, wherein
25 the device independent color space is CIEXYZ or CIELAB color space, and wherein the device dependent color space is CMY or CMYK color space.

25

6. A method according to Claim 1, wherein
30 the forward model look-up table is derived by printing color patches corresponding to predefined colors in device dependent color space, and measuring the colors of the patches in device independent color space.

30

35

7. A method according to Claim 1, wherein the predefined colors are in CMY or CMYK space, and the colors are measured in CIEXYZ or CIELAB space.

5 8. An apparatus for deriving a reverse model look-up table whose entries represent device dependent colors as a function of device independent colors, based on a forward model look-up table whose entries represent device independent colors obtained
10 in response to printout of corresponding device dependent color components, wherein the forward model and the reverse model look-up tables both comprise a grid of cells in their respective color spaces with entries at each grid point of the grid,
15 the apparatus comprising the following means to determine an entry in the reverse model look-up table for a device independent target color:

 search performing means for performing a binary search of the forward model look-up table to
20 locate a cell that contains the device independent target color;

 interpolating means for interpolating entries from the forward model look-up table at grid points that define the cell so as to obtain device
25 dependent colors corresponding to the device independent target color; and

 storing means for storing the device dependent color at the grid point of the reverse model look-up table for the device independent
30 target color.

9. An apparatus according to Claim 8, wherein said interpolating means comprises means for performing tetrahedral interpolation.

35 10. An apparatus according to Claim 8, wherein said search performing means comprises means

for performing iterated steps starting from a starting color value in device dependent color space, the iterated steps comprising:

5 dividing the device independent color space into multiple regions defined by device independent colors corresponding to small variations from the starting color in device dependent color space;

 determining which of the multiple regions contains the device independent target color; and
10 updating the starting color value based on which region contains the device independent target color.

11. An apparatus according to Claim 10,
15 wherein said determining means comprises means for obtaining dot products for each normal plane vector that defines the multiple regions with the vector that defines the difference between the target color and the device independent color corresponding to
20 the starting color, and determining which region contains the device independent target color in accordance with which of the dot products yields positive values and which yields negative values.

25 12. An apparatus according to Claim 8, wherein the device independent color space is CIEXYZ or CIELAB color space, and wherein the device dependent color space is CMY or CMYK color space.

30 13. An apparatus according to Claim 8, wherein the forward model look-up table is derived by printing color patches corresponding to predefined colors in device dependent color space, and measuring the colors of the patches in device
35 independent color space.

14. An apparatus according to Claim 8, wherein the predefined colors are in CMY or CMYK space, and the colors are measured in CIEXYZ or CIELAB space.

5

15. Computer-executable process steps stored on a computer-readable medium, the computer executable process steps to derive a reverse model look-up table whose entries represent device
10 dependent colors as a function of device independent colors, based on a forward model look-up table whose entries represent device independent colors obtained in response to printout of corresponding device dependent color components, wherein the forward
15 model and the reverse model look-up tables both comprise a grid of cells in their respective color spaces with entries at each grid point of the grid, the computer-executable process steps comprising the following codes to determine an entry in the reverse
20 model look-up table for a device independent target color:

code to perform a binary search of the forward model look-up table to locate a cell that contains the device independent target color;

25 code to interpolate entries from the forward model look-up table at grid points that define the cell so as to obtain device dependent colors corresponding to the device independent target color; and

30 code to store the device dependent color at the grid point of the reverse model look-up table for the device independent target color.

16. Computer-executable process steps
35 according to Claim 15, wherein said code to interpolate comprises code to perform tetrahedral interpolation.

17. Computer-executable process steps according to Claim 15, wherein said code to perform a binary search comprises code to perform iterated steps starting from a starting color value in device dependent color space, the computer-executable process steps comprising:

code to divide the device independent color space into multiple regions defined by device independent colors corresponding to small variations from the starting color in device dependent color space;

code to determine which of the multiple regions contains the device independent target color; and

code to update the starting color value based on which region contains the device independent target color.

18. Computer-executable process steps according to Claim 17, wherein said code to determine comprises code to obtain dot products for each normal plane vector that defines the multiple regions with the vector that defines the difference between the target color and the device independent color corresponding to the starting color, and code to determine which region contains the device independent target color in accordance with which of the dot products yields positive values and which yields negative values.

19. Computer-executable process steps according to Claim 15, wherein the device independent color space is CIEXYZ or CIELAB color space, and wherein the device dependent color space is CMY or CMYK color space.

20. Computer-executable process steps according to Claim 15, wherein the forward model look-up table is derived by codes to print color patches corresponding to predefined colors in device dependent color space, and to measure the colors of the patches in device independent color space.

21. Computer-executable process steps according to Claim 15, wherein the predefined colors are in CMY or CMYK space, and the colors are measured in CIEXYZ or CIELAB space.

22. A computer-readable medium which stores computer-executable process steps, the computer-executable process steps to derive a reverse model look-up table whose entries represent device dependent colors as a function of device independent colors, based on a forward model look-up table whose entries represent device independent colors obtained in response to printout of corresponding device dependent color components, wherein the forward model and the reverse model look-up tables both comprise a grid of cells in their respective color spaces with entries at each grid point of the grid, the computer-executable process steps comprising the following steps to determine an entry in the reverse model look-up table for a device independent target color:

a search performing step to perform a binary search of the forward model look-up table to locate a cell that contains the device independent target color;

an interpolating step to interpolate entries from the forward model look-up table at grid points that define the cell so as to obtain device dependent colors corresponding to the device independent target color; and

a storing step to store the device dependent color at the grid point of the reverse model look-up table for the device independent target color.

5

23. A computer-readable medium according to Claim 22, wherein said interpolating step comprises tetrahedral interpolation.

10

24. A computer-readable medium according to Claim 22, wherein said search performing step comprises iterated steps starting from a starting color value in device dependent color space, the computer-executable process steps comprising:

15

a dividing step to divide the device independent color space into multiple regions defined by device independent colors corresponding to small variations from the starting color in device dependent color space;

20

a determining step to determine which of the multiple regions contains the device independent target color; and

25

an updating step to update the starting color value based on which region contains the device independent target color.

30

25. A computer-readable medium according to Claim 24, wherein said determining step comprises steps to obtain dot products for each normal plane vector that defines the multiple regions with the vector that defines the difference between the target color and the device independent color corresponding to the starting color, and to determine which region contains the device independent target color in accordance with which of the dot products yields positive values and which yields negative values.

35

26. A computer-readable medium according
to Claim 22, wherein the device independent color
space is CIEXYZ or CIELAB color space, and wherein
the device dependent color space is CMY or CMYK
color space.

27. A computer-readable medium according
to Claim 22, wherein the forward model look-up table
is derived by steps to print color patches
corresponding to predefined colors in device
dependent color space, and to measure the colors of
the patches in device independent color space.

28. A computer-readable medium according
to Claim 22, wherein the predefined colors are in
CMY or CMYK space, and the colors are measured in
CIEXYZ or CIELAB space.

29. An apparatus for deriving a reverse
model look-up table whose entries represent device
dependent colors as a function of device independent
colors, based on a forward model look-up table whose
entries represent device independent colors obtained
in response to printout of corresponding device
dependent color components, wherein the forward
model and the reverse model look-up tables both
comprise a grid of cells in their respective color
spaces with entries at each grid point of the grid,
the apparatus comprising:

a memory including a region for storing the
forward model look-up table, a region for storing
the reverse model look-up table, and a region for
storing executable process steps; and

a processor for executing the executable
process steps;

wherein the executable process steps
include the following steps to determine an entry in

the reverse model look-up table for a device independent target color: (a) performing a binary search of the forward model look-up table to locate a cell that contains the device independent target color, (b) interpolating entries from the forward model look-up table at grid points that define the cell so as to obtain device dependent colors corresponding to the device independent target color, and (c) storing the device dependent color at the grid point of the reverse model look-up table for the device independent target color.

30. An apparatus according to Claim 29, wherein said step of performing a binary search comprises iterated steps starting from a starting color value in device dependent color space, the iterated steps comprising:

dividing the device independent color space into multiple regions defined by device independent colors corresponding to small variations from the starting color in device dependent color space;

determining which of the multiple regions contains the device independent target color; and

updating the starting color value based on which region contains the device independent target color.

ABSTRACT

A method for deriving a reverse model
look-up table whose entries represent device
dependent colors as a function of device independent
5 colors, based on a forward model look-up table whose
entries represent device independent colors obtained
in response to printout of corresponding device
dependent colors. For each device independent
target color, a binary search of the forward model
10 look-up table is performed so as to locate a cell
that contains the device independent target color.
The grid points from the forward model look-up table
that define the cell are interpolated so as to
obtain device dependent colors corresponding to the
15 device independent target color. The device
dependent color is stored at the grid point for the
reverse model look-up table at a position
corresponding to the device independent target
color.

B-9787

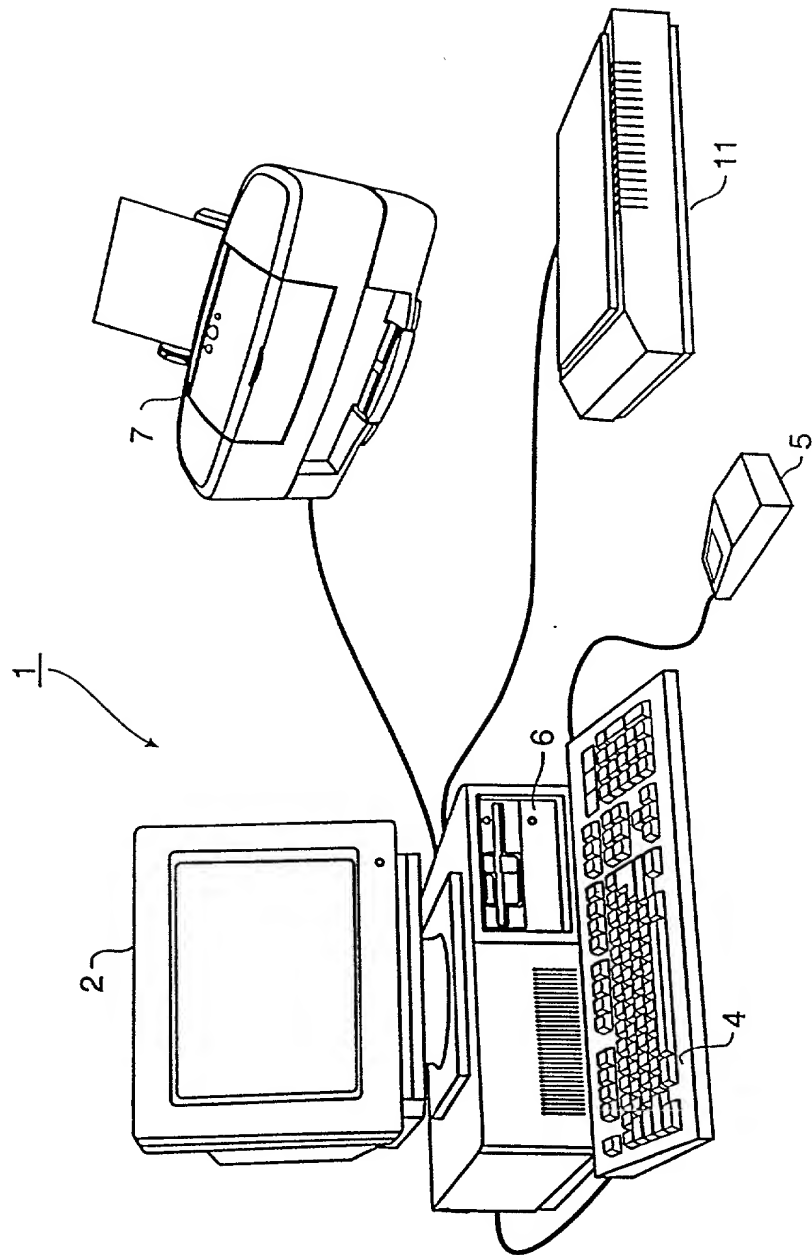


FIG. 1

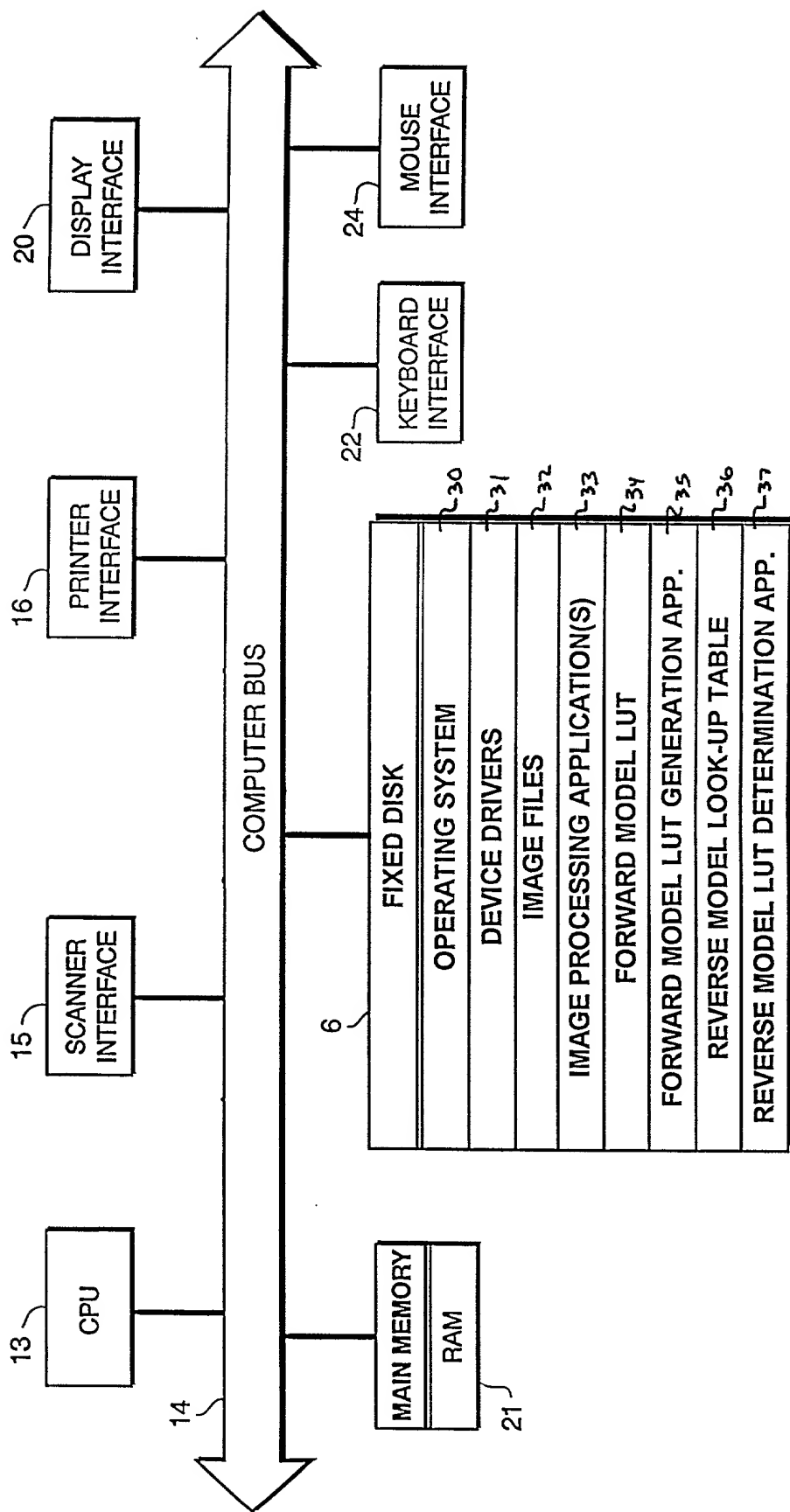


FIG. 2

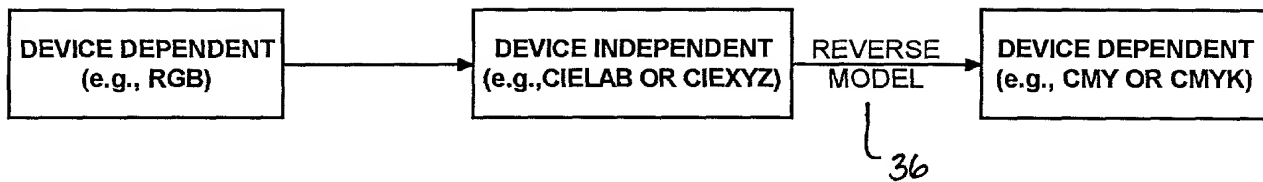


FIG. 3

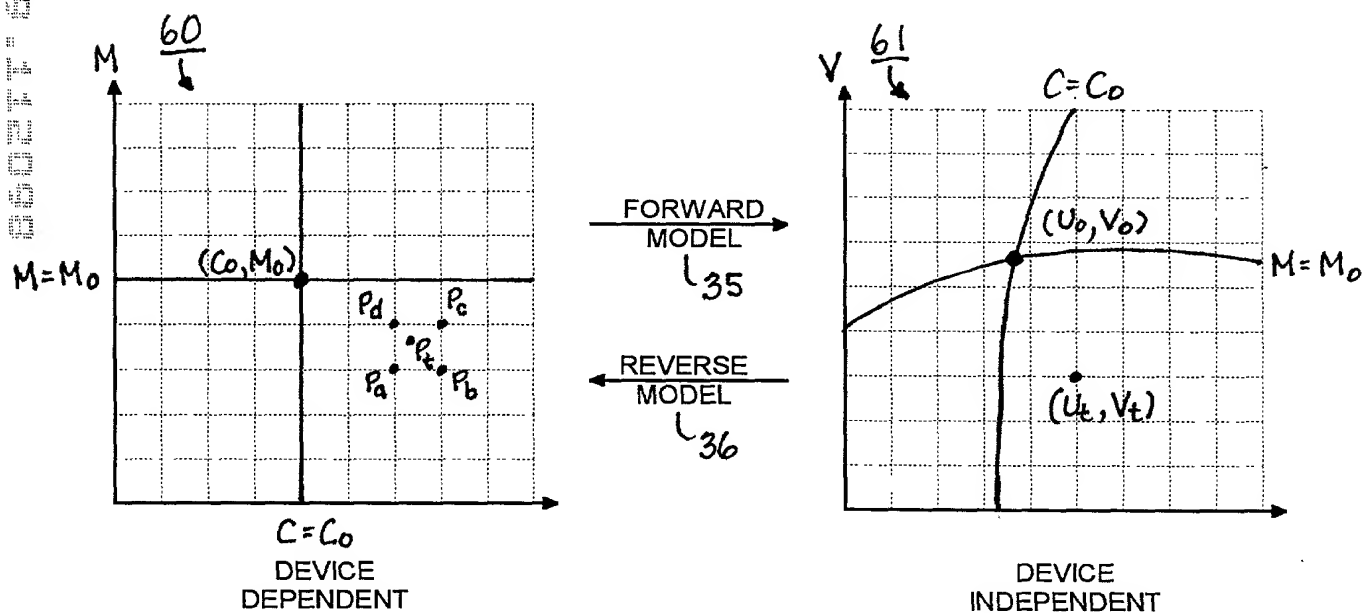


FIG. 4

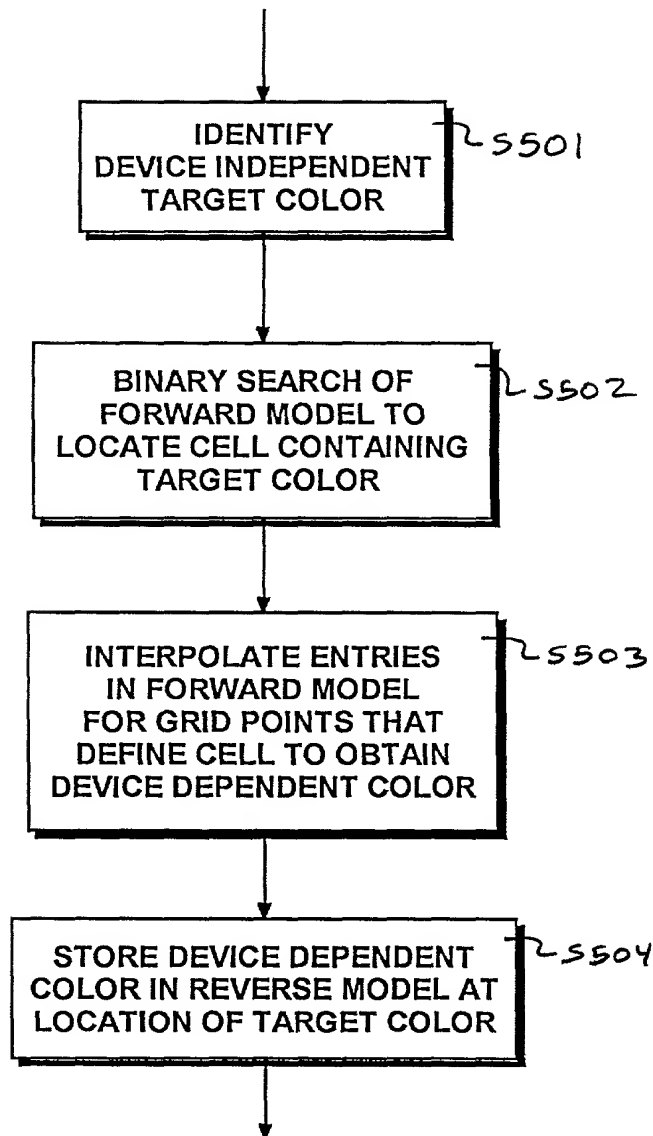


FIG. 5

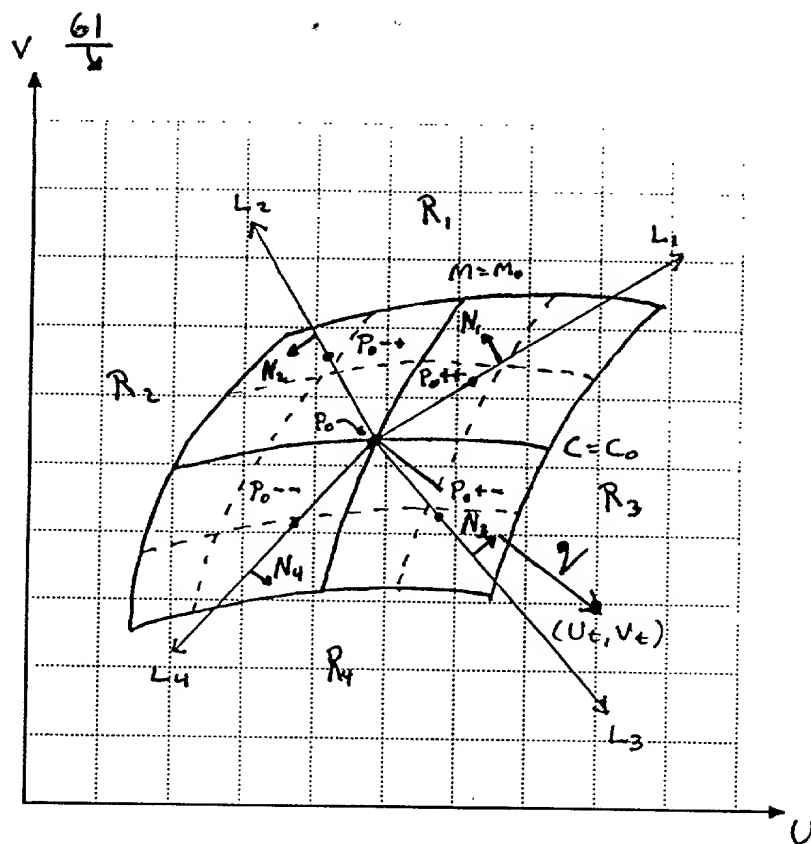


FIG. 6A

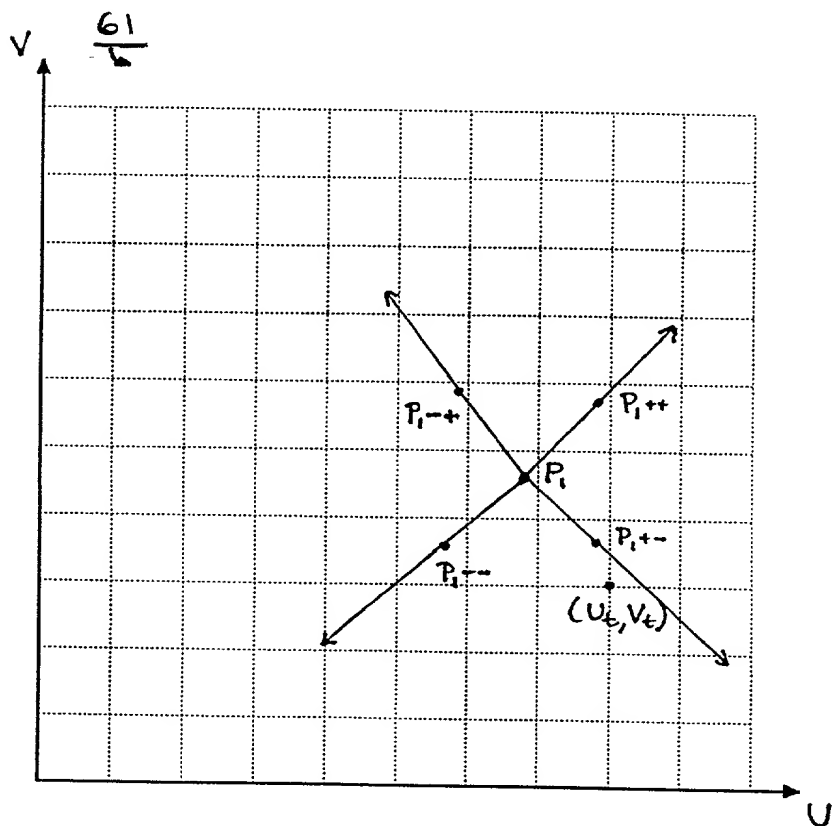


FIG. 6B

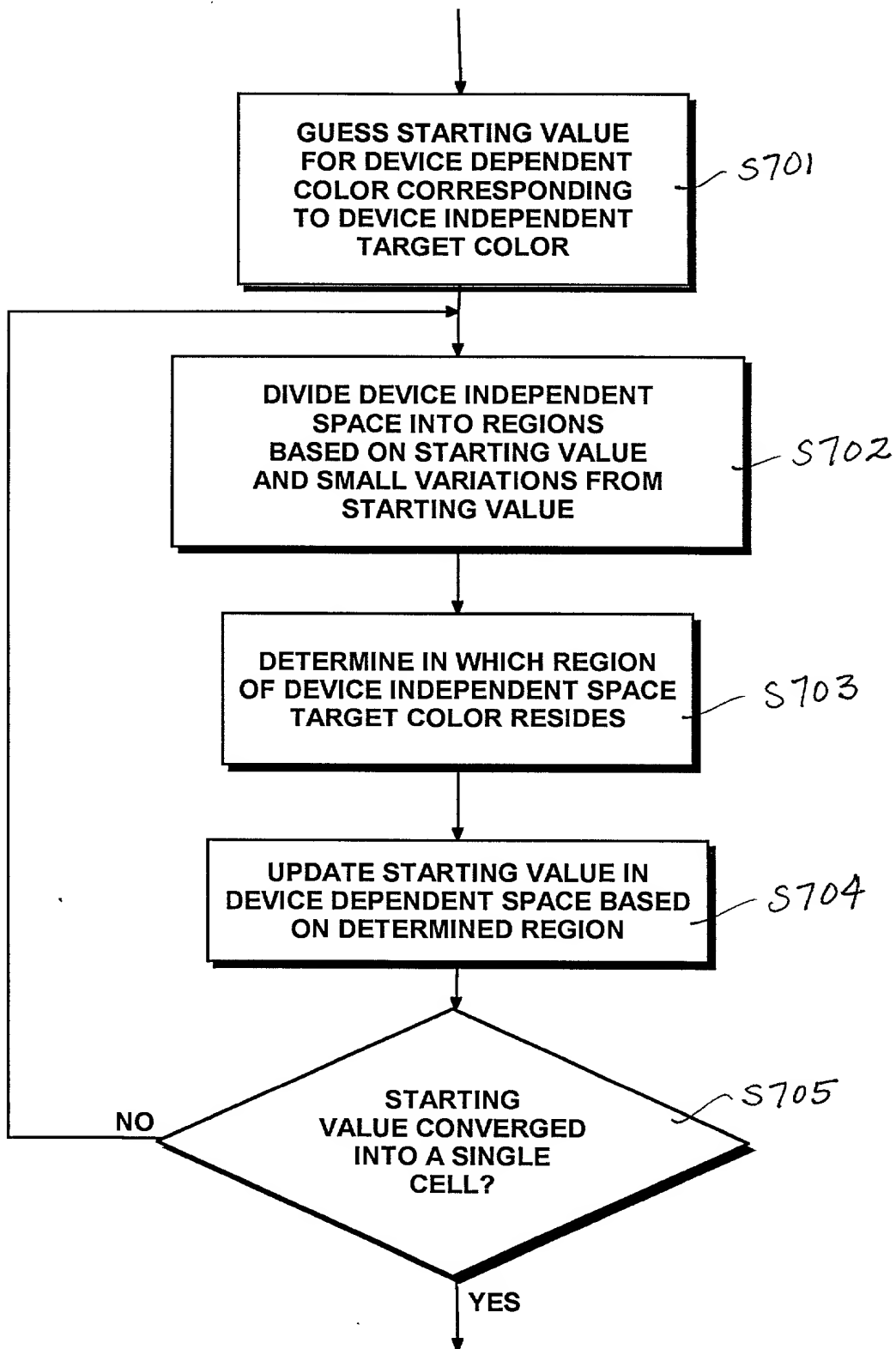


FIG. 7

**COMBINED DECLARATION AND POWER OF ATTORNEY
FOR PATENT APPLICATION**

(Page 1)

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name;

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled _____

DETERMINING COLOR MAPPINGS FOR A COLOR PRINTER

the specification of which ☒ is attached hereto ☐ was filed on _____ as United States Application No. or PCT International Application No. _____ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR §1.56.

I hereby claim foreign priority benefits under 35 U.S.C. §119(a)-(d) or §365(b), of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designates at least one country other than the United States, listed below and have also identified below any foreign application for patent or inventor's certificate, or PCT international application having a filing date before that of the application on which priority is claimed:

<u>Country</u>	<u>Application No.</u>	<u>Filed (Day/Mo./Yr.)</u>	<u>(Yes/No) Priority Claimed</u>
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I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

<u>Application No.</u>	<u>Filed (Day/Mo./Yr.)</u>
------------------------	----------------------------

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT international application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

<u>Application No.</u>	<u>Filed (Day/Mo./Yr.)</u>	<u>Status (Patented, Pending, Abandoned)</u>
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COMBINED DECLARATION AND POWER OF ATTORNEY
FOR PATENT APPLICATION

(Page 2)

I hereby appoint the practitioners associated with the firm and Customer Number provided below to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, and direct that all correspondence be addressed to the address associated with that Customer Number:

FITZPATRICK, CELLA, HARPER & SCINTO
Customer Number: 05514

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Sole or First Inventor Manish Kulkarni

Inventor's signature 

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Second Inventor's signature _____

Date _____ Citizen/Subject of _____

Residence _____

Post Office Address _____

Full Name of Third Joint Inventor, if any _____

Third Inventor's signature _____

Date _____ Citizen/Subject of _____

Residence _____

Post Office Address _____

Full Name of Fourth Joint Inventor, if any _____

Fourth Inventor's signature _____

Date _____ Citizen/Subject of _____

Residence _____

Post Office Address _____